FORT GARRY CAMPUS RESEARCH ETHICS BOARD SUBMISSION FORM

University of Manitoba

Fort Garry Campus Research Ethics Boards
Crop Technology Centre
208 - 194 Dafoe Road
Winnipeg, MB R3T 2N2
Phone: (204) 474-7122
Fax: (204) 269-7173

☐ Psychology/Sociology REB ☐ Education/Nursing REB ☑ Joint-Faculty REB

Check the appropriate REB for the Faculty or Department of the Principal Researcher. This form, attached research protocol, and all supporting documents, must be sent to the Human Ethics Coordinator, by email to humanethics@umanitoba.ca, or by mail to Crop Technology Centre, 208-194 Dafoe Road

Protocol # *(For HES Admin.)*

CORE/CHRPP *(For HES Admin.)* ☐

Shirley Thompson
Principal Investigator

Marleny Bonnycastle

Status of Principal Investigator(s): please check:

☑ Faculty ☐ Student Graduate ☐ WRHA Affiliate
☐ Post-Doc ☐ Undergraduate ☐ Other Specify

Co-investigator(s): Specify affiliation (Separate with semi colon)

70 Dysart Rd
Address (to receive Approval Certificate)

Postal Code (if off campus)

204-474-7170
Phone

s.thompson@umanitoba.ca
Email

Northern Teaching Lodges: Learning Partnership for Community Development and Mino Bimaadiziwin in First Nation Communities
Project Title

2018-2022
Planned period of research (if less than one year)

January 15, 2018
Start Date

Type of research (Please select):

Faculty Research
- Self-funded ☐
- Sponsored ☑
- Agency SSHRC
- UM Project # 47354

Find your UM Project # [funded only] visit:
http://umanitoba.ca/research/ors/mrt-faq.htm

Administrative Research
- Central ☐
- Unit-based ☐

Student Research
- Honour's Thesis ☐
- Master's Thesis ☐
- Doctoral Thesis ☐
- Class Project ☐
- Course Number

Is this submission a follow-up to an existing RPA (Request for Preliminary Access to Grant Funding) form?

No ☐ Yes ☑ If yes, please identify protocol # H521156

A. Signature of Principal Investigator Shirley Thompson

Digitally signed by Shirley Thompson
DN: cn=Shirley Thompson, o, ou, email=s.thompson@umanitoba.ca, c=CA
Date: 2017.11.18 16:19:07 -06'00'

For student research: If thesis, this proposal is approved by department/thesis committee. By signing, the Thesis Supervisor/Course Instructor indicates that they have reviewed and approved this application.

B. Name of Thesis Advisor
(Required if thesis research)

C. Signature

D. Course Instructor
(Required if class project)

E. Signature

Persons signing assure responsibility that all procedures performed under the protocol will be conducted by individuals responsibly entitled to do so, and that any deviation from the protocol will be submitted to the REB for its approval prior to implementation. Signature of the thesis advisor/course instructor indicates that student researchers have been instructed on the principles of ethics policy, on the importance of adherence to the ethical conduct of the research according to the submitted protocol (and of the necessity to report any deviations from the protocol to their advisor/instructor).

Ethics Protocol Submission Form

(Basic Questions about the Project)

The questions on this form are of a general nature, designed to collect pertinent information about potential problems of an ethical nature that could arise with the proposed research project. In addition to answering the questions below, the researcher is expected to append pages (and any other necessary documents) to a submission detailing the required information about the research protocol (see page 4).

1.	Will the participants in your study be **UNAWARE** that they are participants?	☐ Yes	☑ No
2.	Will information about the participants be obtained from sources other than the participants themselves?	☐ Yes	☑ No
3.	Are you and/or members of your research team in a position of power vis-a-vis the participants? If yes, clarify the position of power and how it will be addressed.	☐ Yes	☑ No
4.	Is any inducement or coercion used to obtain the participant's participation?	☐ Yes	☑ No
5.	Do participants identify themselves by name directly, or by other means that allows you or anyone else to identify data with specific participants? If yes, indicate how confidentiality will be maintained. What precautions are to be undertaken in storing data and in its eventual destruction/disposition.	☑ Yes	☐ No
6.	If participants are identifiable by name, do you intend to recruit them for future studies? If yes, indicate why this is necessary and how you plan to recruit these participants for future studies.	☐ Yes	☑ No
7.	Could dissemination of findings compromise confidentiality?	☐ Yes	☑ No
8.	Does the study involve physical or emotional stress, or the participant's expectation thereof, such as might result from conditions in the study design?	☐ Yes	☑ No
9.	Is there any threat to the personal safety of participants?	☐ Yes	☑ No
10.	Does the study involve participants who are not legally or practically able to give their valid consent to participate (e.g., children, or persons with mental health problems and/or cognitive impairment)? If yes, indicate how informed consent will be obtained from participants and those authorized to speak for participants.	☐ Yes	☑ No
11.	Is deception involved (i.e., will participants be intentionally misled about the purpose of the study, their own performance, or other features of the study)?	☐ Yes	☑ No
12.	Is there a possibility that abuse of children or persons in care might be discovered in the course of the study? If yes, current laws require that certain offenses against children and persons in care be reported to legal authorities. Indicate the provisions that have been made for complying with the law.	☐ Yes	☑ No
13. (a)	Does the study include the use of personal health information? The Manitoba Personal Health Information Act (PHIA) outlines responsibilities of researchers to ensure safeguards that will protect personal health information. If yes, indicate provisions that will be made to comply with this Act (see document for guidance: http://www.gov.mb.ca/health/phia/).	☐ Yes	☑ No
13. (b)	PHIA requires that all employees, students, or agents who handle or are exposed to personal health information take PHIA Orientation and sign a pledge of confidentiality that acknowledges that they are bound by written policy and procedures. Has PHIA Orientation and pledge-signing been completed by all employees, students, and agents? If "No," the Principal Investigator should contact UM Access & Privacy Coordinator's Office to make arrangements, fippa@umanitoba.ca Where individuals have not completed PHIA Orientation and signed a pledge, and for the purpose of ensuring that they do, Principal Investigator's contact information will be provided to the University Access & Privacy Coordinator's Office.	☐ Yes	☑ No

Provide additional details pertaining to any of the questions above for which you responded "yes", excluding question 13 (b). Attach additional pages, if necessary.

8. Anonymity or Confidentiality: Describe the nature of the data that will be collected, how it will be stored, and who will have access to it. Anonymous data contains no personal identifiers and, thus, poses no risk of identification to participants. Confidential data contains personal identifiers and carries with it an inherent risk of identification. Therefore, in the latter case steps must be taken to prevent unauthorized persons from linking data to individual participants, up to and including dissemination of findings. Confidential data should be destroyed or rendered anonymous as soon as it is no longer necessary scientifically to link data with individual participants. Anonymous data may be kept indefinitely. Please describe your plans in this regard, including an approximate date (MMYY) by which any confidential data will be destroyed.

In the Community Café there will be no promises of anonymity or confidentiality, as mentioned in the risks and benefits as stated in section 8, but also mentioned in the study procedures in the consent form as highlighted below.

Hard copies (e.g., transcribed notes, survey papers, informed consent form, notes and othe private materials) sheets will be securely locked in a cabinet in the lab of Dr. Thompson at the Natural Resources Institute or with Dr. Bonnycastle at the Inner City Social Work Program. The soft copies (videos, audios, e-copies of transcripts and other forms) will be stored in a password protected computers, which will be accessible only by Drs. Thompson and Bonnycastle and the research assistants. Also, back up external hard drives will be stored in a securely locked cabinet in Dr. Thompson or Bonnycastle's office. Only the researchers and RAs will have access to this information.

STUDY PROCEDURES: If you choose to participate, the community café will last for roughly 4 hours, providing a public, rather than confidential or anonymous, forum for ideas about designing homes and education programs. Summaries reported to the large group and description of designs and drawings by participants will be video and photographically recorded to help gather this information and to produce a video about housing design and education with the written consent of the participants. Also in small groups, notes and, with participant consent, audiotapes will record the information without identifying who said the information. These small table audiorecords will not be published but will be used to write up the findings. The notes and transcriptions will remain for the duration of the research project until 2025 in protected computers of Dr. Thompson and Dr. Bonnycastle and their students and in locked filing cabinets when it will be destroyed.

Regarding the survey, the consent form outlines that there will be confidentiality and how it will be protected.

CONFIDENTIALITY: Your name will never be identified as participating in this survey to anyone or in any report. A unique code but no name will be assigned to your survey data in the database and on the survey form. Your name will only be stored under password protection until 2025 in a separate location on protected personal computers and in a locked file cabinet so the survey responses cannot be linked to any name. The data will be released as grouped data, where there is concern about identifying people.

Ethics Protocol Submission Form

(Required Information about the Research Protocol)

Applications for ethics approval should include the following information and be **presented in the following order**, using the headings indicated. Each page should be numbered, by hand if necessary. To ensure the most rapid approval possible, please refer to the detailed application guidelines posted on the HES website.

1. **Summary of Project:** Attach a detailed but concise (one typed page) outline of the purpose and methodology of the study, describing **precisely** the procedures and tasks in which participants will be asked to engage.

2. **Research Instruments:** Include next a concise summary of the research instruments, especially any risks they may pose to participants. In a separate appendix, provide copies of **all** materials (e.g., questionnaires, tests, interview schedules, instructions, etc.) to be given to participants and/or third parties.

3. **Participants:** Provide a detailed description of the participants, their numbers, and how they will be recruited . Include copies of all written recruitment communications and **scripts** of all oral recruitment communications. Are there any characteristics of the participants that make them especially vulnerable or require extra precautions?

4. **Informed Consent:** Normally, consent **in writing** is required. Attach a copy of the consent form(s) on department/ faculty letterhead (see detailed guidelines regarding consent forms). Different consent forms for different groups of participants in the same study are frequently required. If written consent is not to be obtained, indicate why and the manner by which participants' consent (verbally) or assent to participate in the study will be obtained. How will the nature of the study, the questions they will be asked, the tasks in which they will engage, and the risks to which they will be exposed be explained to participants **before** they give informed consent? How will consent be obtained from parents or legal guardians of participants unable to give legal consent on their own? If confidential records will be consulted, indicate the nature of the records, and how participants' consent for accessing such records will be obtained. If it is essential to the research, indicate why participants will not be made aware that their records are being consulted.

5. **Deception:** Deception refers to the deliberate withholding of essential information or the provision of deliberately misleading information about the research or its purposes. If the research involves deception, the researcher must provide detailed information on the extent and nature of deception and why the research could not be conducted without it. This description must be sufficient to justify a waiver of informed consent.

6. **Feedback/Debriefing:** Normally, feedback should be given to participants about the research immediately after data collection, so as to make their experience as educational as possible. How will the feedback be provided and by whom? If feedback will not be given, please explain why feedback is not planned. In addition, steps should be taken to provide participants with a brief, non-technical summary of study results as soon as possible after the data collection phase of the study is completed (normally a few weeks or months). Participants should be given a choice of how they wish to receive a summary and should be told approximately when (MMYY) to expect it.

7. **Risks and Benefits:** Are there any risks (physical, psychological, and/or emotional) to participants, or to a third party? If yes, provide a description of the risks, the steps that will be taken to mitigate them, and the steps that will be taken to ameliorate any actual harm to participants, including (if appropriate) providing a list of helpful resources. The researcher should also describe any direct, counter-balancing benefits for participants of the proposed study.

8. **Anonymity or Confidentiality:** Describe the nature of the data that will be collected, how it will be stored, and who will have access to it. Anonymous data contains no personal identifiers and, thus, poses no risk of identification to participants. Confidential data contains personal identifiers and carries with it an inherent risk of identification. Therefore,in the latter case steps must be taken to prevent unauthorized persons from linking data to individual participants, up to and including dissemination of findings. Confidential data should be destroyed or rendered anonymous as soon as it is no longer necessary scientifically to link data with individual participants. Anonymous data may be kept indefinitely. Please describe your plans in this regard, including an approximate date (MMYY) by which any confidential data will be destroyed.

9. **Compensation:** Will participants be compensated for their participation? Reasonable compensation may be provided to defray actual costs associated with study participation and/or as an honorarium for the time and effort of participants. However, it may not be sufficient to act as a significant inducement to participation.

10. **Dissemination:** How will study results be disseminated, to whom, and for what intended purposes? Dissemination plans must be agreed to in general by participants and must not jeopardize their right to confidentiality unless they haveexplicitly waived this right.

Review your submission according to this:

Checklist

Please note that your application will be returned to you for completion if ANY of the components below are not completed. In preparing their submission, applicants are strongly encouraged to first review the detailed application Guidelines available on the Human Ethics website.

- ☑ All information requested on the first page completed in legible format (typed or printed).
- ☑ If student research, signatures of the Faculty Research Supervisor or email confirmation of approval from the Research Supervisor.
- ☑ Responses to all 13 questions on pages 2-3 of Ethics Protocol Submission form, INCLUDING SEPARATE, DETAILED ANSWERS TO ANY QUESTIONS FOR WHICH YOUR RESPONSE WAS "YES"
- ☑ Detailed information requested on page 4 of the Ethics Protocol Submission Form in the numbered order and with the headings indicated, using no smaller than 11 font **AND WITH ALL PAGES NUMBERED (HANDWRITTEN NUMBERS ARE ACCEPTABLE).**
- ☑ Copies of all written communications to participants (including recruitment materials) on Department/ Faculty letterhead and/or scripts of all oral communications.
- ☑ Research instruments: Appended copies of all instruments and other supplementary material to be given to participants.
- ☑ Evidence of completion of CORE or CHRPP tutorial or acknowledgment that approval will not be granted until tutorial is completed.
- ☑ Copy of this checklist.